

6 SEP 1978

DD/A Registry

File *Personnel-12*

MEMORANDUM FOR: Director of Personnel

FROM: John F. Blake
Deputy Director for Administration

SUBJECT: Report of Performance Evaluation Task Force

REFERENCE: Multiple Addressee Memorandum from Director
of Personnel, dtd 17 Jul 78, same subject

1. Reference requested comments on the Performance Evaluation Task Force Report in preparation for the proposed discussion of the Report by the EAG. Toward that end, the Report has been reviewed in its entirety and the comments that are submitted may be used in the collated career service comments.

2. We are in agreement with the following recommendations contained in Section B of the Report:

a. that the submission of the LOI be optional; its use, however, should be encouraged in aiding the poor performer, the new employee, and for production-related tasks;

b. that the title of Fitness Report be changed to Performance Appraisal Report (PAR) and that its purpose be defined;

c. that we adopt a seven point numerical rating scale;

d. that the instructions for preparation of the PAR specifically address those items in recommendation (3), page 3;

e. that the employee certification be changed as suggested in recommendation (4), page 3;

f. that directions for narrative preparation be expanded to require justification for each task rating;

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SUBJECT: Report of Performance Evaluation Task Force

- g. that an employee comments section be established;
- h. that the Overall Performance section be relocated;
- i. that the reviewing official be required to comment on the Overall Performance from reviewer's perspective;
- j. that evaluating panels be proscribed from using information not known to ratee;
- k. and that Form 45 be redesigned as suggested in recommendation (10), page 4.

3. We see no particular merit in allowing Career Services to develop standard addendums to discuss or address unique requirements of the service. This would tend to unnecessarily complicate the form and any such information, as required, could be stated in the narrative.

4. The report suggests a Performance Progress Review be written at mid-point of the evaluation cycle. This requirement would probably be ignored or done poorly. At best, this should be studied as an optional item; we prefer to encourage more employee/supervisor dialogue throughout the cycle. ;

5. Although there is no disagreement with the suggestion for greater emphasis on training and the "team building" approach, there exists some puzzlement with regard to the recommendation to establish a training course to be called Performance Appraisal Workshop. The Office of Training presently has such a course, and it is conducted for employees from within single offices so as to best be able to assist in addressing specific office concerns. We think there exists some merit in exploring the possibility (see Section j) of using programmed instruction for PAR training. Among other features, it provides for reinforcement on a continuing basis.

6. We are fully supportive of efforts to monitor the PAR system in order to insure validity and credibility of the system. However, we believe increased efforts within the existing monitoring program would be preferable to the establishment of any new mechanism.

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7. There could be merit in attempting to limit unnecessarily long and drawn out narrative evaluations. The revised instructions should encourage short, succinct narratives and permit extended evaluations only in support of exceptionally outstanding or marginal and unsatisfactory work.

8. It is necessary to address two suggestions which were mentioned in the individual career service submissions and to which we have strong negative reaction. The idea of including on the PAR form the individual's value to the service category would serve no useful purpose and could be very harmful. Neither can any value be seen in establishing auxiliary files to contain PAR's older than five years.

9. The new PAR should be designed to encourage acceptance on the part of raters and ratees, and care should be taken to avoid producing an unwieldy and overly complicated system.

7/1 John F. Blake

John F. Blake

STATINTL

CMO/DDA/[REDACTED]:11f/4142 (31 Aug 78)

Distribution:

- Orig - Addressee
- ① - DDA Subject
- 1 - DDA Chrono
- 1 - JFB Chrono
- 1 - CMO/DDA

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Remarks: <p>Excellent paper by [redacted] on Performance Evaluation Task Force findings. OP advised that paper being held until Mr. Tolake has read & supports [redacted] comments.</p>					
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STATINTL

TO	NAME AND ADDRESS	DATE	INITIALS
1	[REDACTED]		<i>[Signature]</i>
2	Mr. Malanick	31 AUG 1978	<i>[Signature]</i>
3	Mr. Blake		
4	<i>[Handwritten: Malanick]</i>		
5	[REDACTED]		
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STATINTL

Remarks:

Attached is a draft of a memorandum to the Director of Personnel which provides DDA reaction to the Performance Evaluation Task Force Report. I believe it addresses the ^{handwritten} comments made in my 10 August memorandum.

Parker and I are prepared to discuss this further if you wish, or alternatively, to do in final.

[REDACTED] STATINTL

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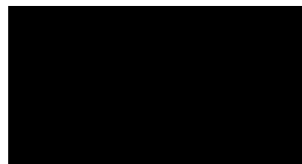
STATINTL

STATINTL

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4	Mr. Malenick		
5	Mr. Blake		
6			
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Remarks:

I apologize for the length of this report but I feel that in writing less the important issues in the Task Force report would not have been adequately covered.



STATINTL

Attachment

Jack - over

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FROM: NAME, ADDRESS AND PHONE NO.

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8/10/78

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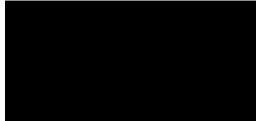
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*This is too long for CP
to use in preparation for
EBC but this info is
necessary for your
understanding of the report*



STATINTL

10 August 1978

MEMORANDUM FOR: Mr. Blake

FROM : [REDACTED] STATINTL

SUBJECT : Review of Report of the Performance Evaluation Task Force

1. Subject report was a very comprehensive and exhaustive effort by the appointed Task Force on our current Fitness Report system and its value and problems. I would suggest that, as a time sparing device, you confine your reading to Sections A, B, and C as this constitutes the heart of the report. You may also wish to review Section G. My comments will address the entire report and will specifically react to each Task Force recommendation as well as those recommendations from the individual Career Service which were not involved in the over-all recommendations but which I believe to have merit. Many of the latter are incorporated in the reactions to the over-all recommendations.

2. The over-all view of the Task Force is that the current system is quite adequate and that the problems that exist stem from people problems, i.e., the misapplication of the form by its users. As implementation and lack of uniform application of the current report, and not the system, is the basic problem, the Task Force has proposed what they describe as moderate changes. I agree with that characterization and, therefore, would like to, throughout the report, propose some additional changes you may wish to incorporate in your reaction to the EAG.

3. In addition to the over-all recommendations for change, the Task force, in its introduction, suggests that the "appraisal system should be revised and refined routinely and periodically". Again I agree just so long as changes are not suggested simply because a certain period of time has

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elapsed but rather as a response to a real need. Another introductory recommendation suggests a mechanism to make the employee more aware of the organization's needs. This can come about in the course of any training associated with the performance evaluation system which is the subject of one of the recommendations.

4. Task Force Recommendations:

OK a. Change title of Fitness Report to Performance Appraisal Report. Also, define its purpose (1) report to management, (2) feedback to employee, (3) information for Boards/Panels. Agree OK

b. Change 5 Point Adjectival Scale to 7 Point Numeric Scale. The Task Force suggests this as a mechanism to combat rating inflation. Disagree

STATINTL

██████████ and I believe the change to a numeric scale would be cosmetic as the numbers still must relate to some specific degree of value judgement as the current alpha system does. Further, we believe that by expanding the scale to seven points, the rater who wishes to inflate and who is now using "S" and "O" indiscriminately will overuse 6's and 7's. We, therefore, suggest two other options:

Preferred Option (3 pronged)

O - Outstanding

P - Proficient (with relation to a definition which falls somewhere in between our current P and S description)

U - Unsatisfactory

Alternate Option (4 pronged)

O - Outstanding (with definition going beyond our current "O" description so as to help limit its use)

AA - Above Average

S - Satisfactory - implying or stating specific areas for improvement

U - Unsatisfactory

STATINTL

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c. Provide instructions to raters of supervisors (reviewing officials) so that they address supervisor's ability to:

- 3K
- (1) effectively communicate job requirements
 - (2) candidly appraise performance
 - (3) foster good communications
 - (4) assist subordinate to improve and develop
- OK

Agree

OK d. Change employee certification from having seen report to attest to fact that there has been a discussion and that the employee was aware of the factors on which rating was based.

Agree in part

NO. The certification with regard to discussion is an excellent idea. We further propose, and this ties in with recommendation (f) below, that there be a section for a mandatory comment on the part of employee. It could start with the certification of discussion and even end there. However, ideally it could detail the employee's reaction to the discussion and to other points in the report which the employee believes worthy of mention, e.g., training recommendations, employee aspirations, specifics on how employee intends to improve his performance, etc. Hopefully this will be a section for positive, but objective, statements on the employee's part.

We have a slight reservation in the "factor awareness" suggestion particularly in view of the Task Force recommendation (later on in the report) to make the LOI optional. Perhaps the wording can be softened somewhat so that an employee who doesn't have an LOI, and who gets a poor appraisal, doesn't have a built in reason for a grievance.

OK e. Expand directions for narrative preparation to require justification of each specific task rating. (In other words don't list a specific duty and fail to narratively comment on it). Agree

OK

OK f. Establish a section for employee comments. (precluding necessity of addendums). Agree, but make comments mandatory (see d above)

NO

L Link not mandatory comment

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g. Relocate the Over-all Performance Section (rating box) to follow narrative. *OK*

Agree It gives rater benefit of assigning rating after taking a longer and more complete review of events which comprise the over-all quality of performance.

h. Require reviewer to comment on the over-all performance of the ratee from the reviewer's perspective. *Agree*

i. Proscribe panels from using information not known to the ratee.

Agree in principle, but disagree in suggested application. Apparently, some of the respondents to the Career Service surveys had very strong feelings about the employee not being aware of conversations between panel members and rating officials. The Task Force suggests as a remedy that all such conversations be made a matter of written record and include certification of the fact that the ratee has seen such record. *OK*

We cannot argue against being open, candid and honest with the employee. However, when panels have to deal with Fitness Reports which are not always definitive and comprehensive (hopefully, the new system will improve this condition) panel members are hard pressed to evaluate and make positive distinctions among the 81% of us who are given an "S" or "O" rating. If the proposal is adopted we foresee: mounds of paper attempting to document such conversations and more and more challenges to the judgement of raters resulting in less and less honesty on the raters part. We suggest continuing our current practices but encouraging our panel chairman and CMO's to orally inform the employee if the employee seeks clarification of what additional information was made known to the panel when such information may have led to a competitive evaluation inconsistent with a high performance appraisal rating.

j. Redesign Form 45:

- OK
- (1) Eliminate Small Print
 - (2) Make it fold out type
 - (3) Have tear off instructions on each form
 - (4) Allow Career Services or Sub-groups to employ one-page addendums to allow for addressing unique requirements of that organization.
- NO
- OK

Agree but don't necessarily see need for the last piece of paper. The key word in that suggestion is "allow".

k. Establishment of a Performance Progress Review. This calls for preparation of a memo for the record at the mid-point of the evaluation cycle which will address progress of performance. This would be retained until the annual report is prepared and would be kept only in situations of very good or very poor work.

OK optional

Agree in principle. However, we may want to suggest as an option not as a requirement. We should encourage frequent dialogue during the evaluative cycle but if we require written interims we will set up a system which more likely than not will be ignored or, if done, done hastily in many cases and simply result in a "paper exercise".

1. Make the LOI optional.

OK

Agree. However, its use should be encouraged in attempting to aid the poor performer, the new employee and to document those goals which are particularly production related.

m. Emphasize Training for Raters and Reviewers to cover:

- (1) purpose of performance appraisal reporting
- (2) its use as a tool for career development and planning
- (3) value of discussion among supervisors on feedback and counseling
- (4) preparation of the LOI

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- (5) collaboration with employees on planning work

They also suggested a "team building" approach between management and the employee to provide guidance and assist in achieving goals. Also,

- (6) make performance appraisal training mandatory
- (7) publish a performance appraisal handbook (to explain philosophy and guidance)
- (8) use video-tape for supervisors awaiting training

The Task Force feels strongly about the need for training as they mention it is an essential part of all the external systems they reviewed. However, they suggest establishing a Performance Appraisal Workshop as the main element in the training application. OTR presently has such a course which runs for two to three days. The "trainees" in this course are generally from the same office or at least the same Directorate. The Task Force either didn't know this or perhaps they were suggesting expanded use of the present course. We defer to you and OTR as to whether we currently have the resources to develop such an expanded program. Alternatively, perhaps OTR could train component trainees i.e. have personnel, admin, and line managers handle this within each Office. Borrowing on a suggestion in the DDS&T report, we may want to explore the possibility of developing a "programmed instruction" on performance appraisal. I'm somewhat familiar with programmed instruction and think it would work well. It has the added value of affording the rater or component to keep individual copies for future use and updating of training.

The last formal recommendation recommends a monitoring system to ensure validity and credibility. They recognize such exists at present--personnel officers, CMO's, Panels, managers, etc. They believe that much more discipline is needed to make the system better.

Worthy of mention at this juncture would be the fact that the DDO report recommends a new FR form patterned after State Department's Foreign Service form. Although I don't see the need for such, we may want to consider its better points:

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- (1) a section which requires the ratee to comment on his most significant achievement during the period and any special problems encountered. This could be used in the mandatory employee's comments section mentioned earlier.
- (2) a section which compels the rater to specify areas in which employees designated as having high potential could best direct their efforts. I believe this can help answer the objection to discussion of potential in FR's. We may wish to consider requiring raters, in our narrative section, to identify at least one area in which need for improvement is indicated or in which specific emphasis is needed.

Further, in regard to our narrative, we believe an objective "check-off" form which addresses characteristics such as judgement, initiative, reliability, etc. would be useful. These qualities could be addressed and then the writer expand upon them in the narrative.

Setting aside for a moment the length of this report, we like the idea of limiting, through space allocation on the form, the narrative evaluation. We could propose that the narrative is limited to the space on the form itself except in those cases in which the extremes of performance must be documented.

The DDA report recommended restricted access to FR's older than five years and suggested an auxiliary file for such be retained in the Office of Personnel. We are not in favor of more files. We also believe older FR's serve a purpose, e.g. providing documentation with regard to previous types of experience which may be referred to prior to making recommendations for future assignments of like nature.


There was a suggestion to include on the form the Value to the Service ranking category in which the ratee falls. This would serve no useful purpose and could be very harmful. Also, it was suggested that personal characteristics not be allowed to be mentioned on the report. A blank prohibition goes too far--certain personality traits enhance or detract from performance--these are worthy of discussion.

All the major, and a good number of the minor, recommendations and suggestions have been commented upon and additional suggestions, as appropriate, are included. Please let me know if you need anything else for the DDA comments asked for by the Office of Personnel. STATINTL

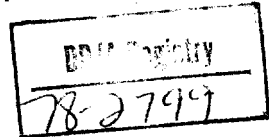
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+ then commenting
on them. Should be completed.
It's going to
be difficult to
synthesize to
adapt to the
change.*

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17 JUL 1978

MEMORANDUM FOR: Deputy Director for Administration
Deputy Director for National Foreign Assessment
Deputy Director for Operations
Deputy Director for Science and Technology
Chairman, Executive Career Service Board

FROM : F. W. M. Janney
Director of Personnel

SUBJECT : Report of the Performance Evaluation Task Force


REFERENCE : Memo for Heads of Career Service fr D/Pers dtd
21 Apr 77, subj: Personnel Performance
Evaluation

1. The report of the Agency Task Force on the Performance Evaluation system was forwarded to the Deputy Director of Central Intelligence on 3 May 1978 with a proposal that the recommendations therein be reviewed and discussed by the Executive Advisory Group. The DDCI has concurred in this proposal and has requested that Heads of the Career Service review the findings and recommendations and submit comments in preparation for the EAG discussions.

2. The Office of Personnel will collate the Career Service comments in preparation for the EAG meeting on the subject. It will be appreciated if the results of your review could be forwarded to me by 15 August.

3. A copy of the Report was provided to your Career Service representative on the Task Force. The individual is identified on the cover sheet of this memorandum.

STATINTL


F. W. M. Janney

~~ADMINISTRATIVE - INTERNAL USE ONLY~~

ADMINISTRATIVE - INTERNAL USE ONLY

21 APR 1977

MEMORANDUM FOR: Deputy Director for Administration
Deputy Director for Intelligence
Deputy Director for Operations
Deputy Director for Science and Technology
Chairman, Executive Career Service Board

FROM : P. W. M. Janney
Director of Personnel

SUBJECT : Personnel Performance Evaluation

REFERENCE : EAC Minutes of 15 Feb 77

1. Item two of reference approved a proposal by the Deputy Director for Administration that an in-depth study of the Agency's personnel evaluation system be conducted. Included in the approval was a suggestion by the DDCI that the task force formed to make the study have representation from all Directorates.

2. Subsequent to this approval, the Office of Personnel was given the responsibility for organizing the study group and developing an approach to the review. Attached is a copy of the project outline approved by the Deputy Director for Administration. Career Service representatives will be responsible for the fact finding survey of their own Services and will represent that Service's interest in any proposal for change, modification or retention of the present system. The Office of Personnel has the responsibility for reviewing the evaluation system in other government agencies and the private sector and for compiling the report, with an analysis of the results.

3. Career Service nominees for this study group should be in grades GS-13 through GS-15 with experience as supervisors and have served on personnel evaluation and ranking/promotion panels or boards. Preliminary talks on the development of guidances for the surveys have been held with OAS/PSS, but we would like to include task force members in the follow-up discussion before finalizing the guidances.

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Present plans are to allow approximately a month for the Career Service representatives to complete their part of the fact finding work, another month to six weeks to compile and analyze the reports, followed by the study group review of the results and development of recommendations.

4. Please advise Chief, Review Staff, Office of Personnel, of your nominee to serve on this group by 2 May 1977.

(Signed) F. W. M. Janney

F. W. M. Janney

Att.

As Stated

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STATINTL OP/P&C/RS/ [REDACTED] cmc (20 Apr 77)

ROUTING AND RECORD SHEET

SUBJECT: (Optional)

FROM: F. W. M. Janney
Director of Personnel
5E 58 Hqs.

EXTENSION

6825

NO.

PEPS

78-2158

DATE

17 JUL 1978

TO: (Officer designation, room number, and building)

DATE

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OFFICER'S INITIALS

COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)

1. Deputy Director for
Administration
7D 18 Hqs.

The DDA representative is Ron

STATINTL

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SSA/DDA

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